



IFW deli

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

9

Application Number

10/074,991

Filing Date

February 13, 2002

First Named Inventor

Lloyd Watts

Art Unit

2615

Examiner Name

Daniel R. Sellers

Attorney Docket Number

PA2999US

ENCLOSURES (Check all that apply)

☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☐

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐

Reply to Missing Parts/
Incomplete Application

☐

Reply to Missing Parts
under 37 CFR 1.52 or 1.53

☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐

Petition to Convert to a
Provisional Application

☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s) _____

☐ Landscape Table on CD

☐

After Allowance Communication to TC

☐

Appeal Communication to Board
of Appeals and Interferences

☐

Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

☐

Proprietary Information

☐

Status Letter

☒

Other Enclosure(s) (please identify
below):

- 1) Confirmation postcard
- 2) Response to Non-Correction of Filing Receipt (2pp, x2);
- 3) Copy of Filing Receipt (2pp);
- 4) Copy of Response to Request for Corrected Filing Receipt (2 pp)

Remarks

Total page number does not include postcard.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Carr & Ferrell LLP

Cust. No. 22830

Signature

Printed name

Susan Yee

Date

April 20, 2007

Reg. No.

41,388

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

Susan Yee, Reg. No. 41,388

Date

April 20, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

APPLICATION NUMBER	FILING OR 371(c) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/074,991	02/13/2002	Lloyd Watts	PA2999US

CONFIRMATION NO. 6884

22830
 CARR & FERRELL LLP
 2200 GENG ROAD
 PALO ALTO, CA 94303

Date Mailed: 03/27/2007

RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT**Domestic Continuity and Foreign Priority**

In response to your request for a corrected Filing Receipt, the Office is unable to comply with the request because:

- ☐ The priority or continuity claim has not been entered because it was not filed during the required time period. Applicant may wish to consider filing a petition to accept an unintentionally delayed claim for priority. See 37 CFR 1.55 or 1.78.
- ☒ Continuity claimed under 35 U.S.C. § 120 cannot be added to the Filing Receipt without the applicant supplying the relationship (continuation, divisional, or continuation-in-part) in an Application Data Sheet or amendment to the first page of the specification.
- ☐ A claim for priority cannot be made based on an application filed after the application making the claim.
- ☐ Domestic benefit and foreign priority claims will not be captured in a provisional application. A provisional application is not entitled to a right of priority or to the benefit of an earlier filing date of any other application. See 35 U.S.C. § 111(b)(7) and 37 CFR 1.53(c)(4).
- ☐ A domestic continuity claim cannot be made to a foreign application and the filing receipt will only list the foreign country, application number, and filing date.
- ☐ Foreign priority will appear on the Filing Receipt in the following order: **Country, Application number, Filing date.**
- ☐ This application is the result of a conversion from a provisional application. Priority based on such application cannot be made since it no longer exists as a provisional application.
- ☐ The application(s) to which priority is claimed were filed over a year prior to the filing date of this

application. Therefore, the referenced application(s) cannot be claimed as domestic or foreign priority.

- ☐ To change the benefit claim of a U.S. prior-filed application, applicant must amend the first sentence of the specification (if the benefit claim is referenced in the specification), or provide a supplemental application data sheet (ADS) (if the benefit claim was submitted in an ADS), with the desired benefit claim. Note that once a benefit claim is deleted, applicant will not be able to claim such prior-filed application again, if the above-identified application was filed on or after November 29, 2000.
- ☐ To change a foreign priority claim, applicant must submit a supplemental oath or declaration (if the priority claim is referenced in the oath or declaration), or a supplemental application data sheet (ADS) (if the priority claim was submitted in an ADS), with the desired priority claim. If a supplemental ADS is submitted, any deletions should be shown with strikeouts. Note that once a priority claim is deleted, applicant will not be able to claim such foreign application again, if the above-identified application was filed on or after November 29, 2000.



Office of Initial Patent Examination (571) 272-4000, or 1-800-PTO-9199

PART 1 - ATTORNEY/APPLICANT COPY



IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Lloyd Watts
APPLICATION NO.: 10/074,991
FILED: February 13, 2002
TITLE: Filter Set for Frequency Analysis
EXAMINER: Daniel R. Sellers
GROUP ART UNIT: 2615
CONFIRM. NO.: 6884
ATTY.DKT.NO.: PA2999US

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date printed below:

Dated: April 20, 2007


Susan Yee, Reg. No. 41,388

MAIL STOP MISSING PARTS
COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

RESPONSE TO NON-CORRECTION OF FILING RECEIPT

In the response to request for corrected filing receipt mailed March 27, 2007, the Examiner states that "continuity claimed under 35 U.S.C. §120 cannot be added to the Filing Receipt without the applicant supplying the relationship in an Application Data Sheet or amendment to the first page of the specification.

Applicant would like to direct the Examiner to the originally filed specification, which contains a cross reference section. In this cross reference section, a priority claim is clearly provided to co-pending U.S. Patent Application No. 09/534,682. This cross reference section is also evidenced in the corresponding Publication No. 20050228518.

As such, Applicant hereby requests that the United States Patent and Trademark Office correct its records and issue a corrected filing receipt showing the proper domestic priority benefit claim. For reference, Applicant encloses a copy of the incorrect filing receipt with the desired corrections indicated.

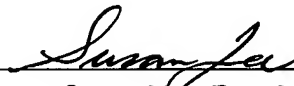
Applicant believes there is no fee for this request. The Commissioner is, however, authorized to charge any additional fees which may be required to Deposit Account No. 06-0600. A duplicate copy of this letter is attached for this purpose.

Respectfully submitted,

Lloyd Watts

Dated: April 20, 2007

By: _____



Susan Yee, Reg. No. 41,388

Carr & Ferrell LLP

2200 Geng Road

Palo Alto, CA 94303

TEL: (650) 812-3400

FAX: (650) 812-3444



IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Lloyd Watts
APPLICATION NO.: 10/074,991
FILED: February 13, 2002
TITLE: Filter Set for Frequency Analysis
EXAMINER: Daniel R. Sellers
GROUP ART UNIT: 2615
CONFIRM. NO.: 6884
ATTY.DKT.NO.: PA2999US

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date printed below:

Dated: April 20, 2007


Susan Lee, Reg. No. 41,388

MAIL STOP MISSING PARTS
COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

RESPONSE TO NON-CORRECTION OF FILING RECEIPT

In the response to request for corrected filing receipt mailed March 27, 2007, the Examiner states that "continuity claimed under 35 U.S.C. §120 cannot be added to the Filing Receipt without the applicant supplying the relationship in an Application Data Sheet or amendment to the first page of the specification.

Applicant would like to direct the Examiner to the originally filed specification, which contains a cross reference section. In this cross reference section, a priority claim is clearly provided to co-pending U.S. Patent Application No. 09/534,682. This cross reference section is also evidenced in the corresponding Publication No. 20050228518.

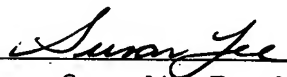
As such, Applicant hereby requests that the United States Patent and Trademark Office correct its records and issue a corrected filing receipt showing the proper domestic priority benefit claim. For reference, Applicant encloses a copy of the incorrect filing receipt with the desired corrections indicated.

Applicant believes there is no fee for this request. The Commissioner is, however, authorized to charge any additional fees which may be required to Deposit Account No. 06-0600. A duplicate copy of this letter is attached for this purpose.

Respectfully submitted,
Lloyd Watts

Dated: April 20, 2007

By: _____



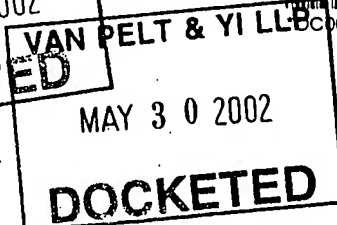
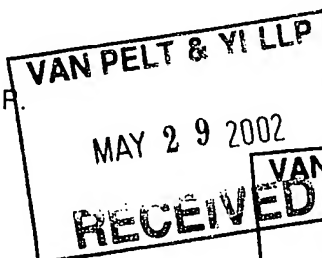
Susan Yee, Reg. No. 41,388
Carr & Ferrell LLP
2200 Geng Road
Palo Alto, CA 94303
TEL: (650) 812-3400
FAX: (650) 812-3444

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

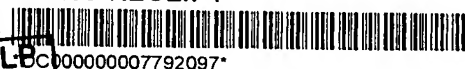
APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/074,991	02/13/2002	2644	1250	ANSCP006	9	25	8

21912
RITTER VAN PELT & YI, L.L.P.
4906 EL CAMINO REAL
SUITE 205
LOS ALTOS, CA 94022



CONFIRMATION NO. 6884

FILING RECEIPT



C000000007792097*

Date Mailed: 04/04/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Lloyd Watts, Mountain View, CA;

Assignment For Published Patent Application

Applied Neurosystems Corporation;

Domestic Priority data as claimed by applicant

This application claims benefit of 09/534,682 3/24/2000

Foreign Applications

If Required, Foreign Filing License Granted 04/03/2002

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

Filter set for frequency analysis

Preliminary Class

700

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).